

DOCKET NO.: IBIS-0002

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Ecker, et al.

Serial No.: 09/076,440

Group Art Unit: 1643

Filing Date: May 12, 1998

Examiner: Not Assigned

For: IDENTIFICATION OF MOLECULAR INTERACTION SITES IN  
RNA FOR NOVEL DRUG DISCOVERY

DATE OF DEPOSIT: 13 July 1998

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL  
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ON THE DATE INDICATED ABOVE AND IS ADDRESSED  
TO THE ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, DC 20231.

Paul K. Legaard  
TYPED NAME: Paul K. Legaard  
REGISTRATION NO.: 38,534

Assistant Commissioner for Patents  
Washington DC 20231

ATTENTION: Refund Section, Accounting Division, Office of Finance

REQUEST FOR REFUND  
(37 CFR 1.28(a))

I. SUBMISSION OF STATEMENT

(complete (a) or (b))

Repln. Ref: 09/23/1998 MBROWN 0011545800  
DAI: 233050 Name/Number: 09076404  
FC: 704 \$396.00 CR ☒

Attached is a statement claiming small entity status in this  
application.

(b) ☐ A statement claiming small entity status was filed in this  
application on @@

II. REFUND REQUEST

This request for refund is made within two months of the date a fee was paid

in this application on May 12, 1998, in the amount of \$672.00.

**III. FEES PAID FOR WHICH REFUND REQUESTED**

<b>FEE PAID:</b>	<b>AMOUNT OF REFUND REQUESTED:</b>
Filing Fee	\$672.00
Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 CFR 1.16(e) or 37 CFR 1.16(l))	\$
Surcharge for filing the oath or declaration on a date later than the filing date of the application (37 CFR 1.16(e))	\$
Extension of Term	\$
Issue Fee	\$
Patent Maintenance <input type="checkbox"/> First Maintenance Fee <input type="checkbox"/> Second Maintenance Fee <input type="checkbox"/> Third Maintenance Fee	\$
Patent Maintenance Fee Surcharge	\$
Other:	\$
<b>TOTAL REFUND REQUESTED:</b>	<b>\$672.00</b>

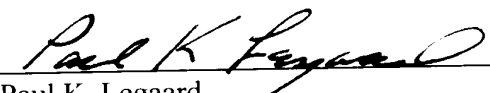
**IV. MANNER OF REFUND**

Please make refund by

☒ crediting Deposit Account No. 23-3050.

☐ refunding overpayment.

Date: July 13, 1998

  
Paul K. Legaard  
Registration No. 38,534

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

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**Applicant or Patentee: David J. Ecker, Ranga Sampath and Richard Griffey**

**Serial or Patent No.: 09/076,440**

**Attorney's Docket No.: IBIS-0002**

**Date Filed or Issued: May 12, 1998**

**For: IDENTIFICATION OF MOLECULAR INTERACTION SITES IN RNA FOR  
NOVEL DRUG DISCOVERY**

**STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR  
1.9(d) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
- ☒ an official empowered to act on behalf of the concern identified below:

**NAME OF CONCERN:**

**ISIS Pharmaceuticals, Inc.**

**ADDRESS OF CONCERN:**

**2292 Faraday Avenue  
Carlsbad, California 92008**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in the

- ☐ specification filed herewith, with title as listed above.
- ☒ application identified above.
- ☐ patent number identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

**\*NOTE: Separate statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

**FULL NAME:** @@

**ADDRESS:** @@

☐ **INDIVIDUAL** ☐ **SMALL BUSINESS CONCERN** ☐ **NONPROFIT ORGANIZATION**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

**NAME OF PERSON SIGNING**  
**TITLE OF PERSON SIGNING**  
**ADDRESS OF PERSON SIGNING**

**B. Lynne Parshall, Esq.**  
**Executive Vice President**  
**2292 Faraday Avenue**  
**Carlsbad, CA 92008**

  
\_\_\_\_\_  
**SIGNATURE**

  
\_\_\_\_\_  
**DATE**